



PTO/SB/08a/b (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	10/014,960
		Filing Date	December 11, 2001
		First Named Inventor	Harold A. Ludtke
		Art Unit	3621
		Examiner Name	J. M. Winter
		Attorney Docket Number	SONY 3.0-022
Sheet	1	of	3

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
JW	AA	US-2001/00449061-A1	11-22-2001	KANEVSKY et al.	
	AB	US-2002/0147914	10-10-2002	Arnold	
	AC	US-3,741,214	01-18-2001	smith	
	AD	US-4,582,985	04-15-1986	Lofberg	
	AE	US-5,056,019	10-08-1991	Schultz, et al.	
	AF	US-5,173,851-A	12/1992	OFF ET AL.	
	AG	US-5,256,863-A	10/1993	FERGUSON ET AL.	
	AH	US-5,280,527	01/1994	Gullman et al.	
	AI	US-5,436,972	07-25-1995	Fischer	
	AJ	US-5,557,541	09-17-1996	Schulhof et al.	
	AK	US-5,615,277	03-25-1997	Hoffman	
	AL	US-5,623,552	04-22-1997	Lane	
	AM	US-5,710,887	01-20-1998	Chelliah, et al.	
	AN	US-5,734,838	03-31-1998	Robinson, et al.	
	AO	US-5,778,068	07-07-1998	Johnson et al.	
	AP	US-5,796,832	08/1998	Kawan, Joseph C.	
	AQ	US-5,825,876	10-20-1998	Peterson, Jr.	
	AR	US-5,870,723	02-09-1999	Pare, Jr. et al.	
	AS	US-5,884,271	03-16-1999	Pitroda	
	AT	US-5,892,900	04-06-1999	Ginter et al.	
	AU	US-5,897,622	04-27-1999	Blinn, et al.	
	AV	US-5,915,022-A	06/1999	ROBINSON ET AL.	
	AW	US-5,923,016	07-13-1999	Fredregill, et al.	
	AX	US-5,926,624	07-20-1999	Katz et al.	
	AY	US-5,948,040	09-07-1999	DeLorme, et al.	
	AZ	US-5,956,699	09-21-1999	Wong et al.	
	AA1	US-5,990,804	11-23-1999	Koyama	
	AB1	US-6,002,770	12-14-1999	Tomko et al.	
	AC1	US-6,002,787	12-14-1999	Takhar et al.	
	AD1	US-6,006,200	12-21-1999	Boies et al.	
	AE1	US-6,009,415	12-28-1999	Shurling, et al.	
	AF1	US-6,012,039	01-04-2000	Hoffman, et al.	
	AG1	US-6,016,476	01-18-2000	Maes et al.	
	AH1	US-6,018,724	01-25-2000	Arent	
	AI1	US-6,023,679	02-08-2000	Acebo, et al.	
	AJ1	US-6,078,891-A	06/2000	RIORDAN ET AL.	
	AK1	US-6,119,096	09-12-2000	Mann et al.	
	AL2	US-6,129,274-A	10/2000	SUZUKI, HIKANU	
	AM1	US-6,138,911	10-31-2000	Fredregill, et al.	
	AN1	US-6,141,754	10-31-2000	Choy	
	AO1	US-6,151,600-A	11/2000	DEDRICK, RICK	
	AP1	US-6,163,772	12-19-2000	Kramer, et al.	
	AQ1	US-6,167,517	12-26-2000	Gilchrist et al.	
	AR1	US-6,226,618	05-01-2001	Downs et al.	
	AS1	US-6,269,348-B1	07-31-2001	Pare, Jr. et al.	
Examiner Signature				Date Considered	5/25/05



PTO/SB/08a/b (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO				Complete if Known	
				Application Number	10/014,960
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Filing Date	December 11, 2001
				First Named Inventor	Harold A. Ludtke
				Art Unit	3621
				Examiner Name	J. M. Winter
				Attorney Docket Number	SONY 3.0-022
Sheet	2	of	3		

gh	AT1	US-6,270,011-B1	08-07-2001	Gottfried	
	AU1	US-6,279,112-B1	08/2001	OTOOLE ET AL.	
	AV1	US-6,282,653	08-28-2001	Bersts et al.	
	AW1	US-6,310,966	10/2001	Dulude et al.	
	AX1	US-6,366,953	04-02-2002	Inoue	
	AY1	US-6,370,629	04-09-2002	Hastings et al.	
	AZ2	US-6,434,535	08-13-2002	Kupka et al.	
	AA2	US-6,453,301-B1	09/2002	Niwa Kiyohiko	
	AB2	US-6,592,044	07-15-2003	Wong et al.	
	AC2	US-6,615,264-B1	09-02-2003	Stoltz et al.	
	AD2	US-6,662,166-B2	12-09-2003	Pare, Jr. et al.	

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)					
911 							

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
gh	CA	DRURY; Demand Jumps For High-Tech ID Producer; Business First; 22 October 2001; Vol. 18, No. 3, page 1.	
	CB	Co-pending Patent No. 09/466,965, Authentication System, Fingerprint Identification Unit, and Authentication Method, filed December 20, 1999.	
	CC	PACK: "Traditional Retailers Plan Interactive Stores", Orlando Sentinel, May 25, 1995.	
	CD	U.S. Patent Application No. 10/014,960, filed December 11, 2001, entitled "Method Or System For Executing Deferred Transactions".	
	CE	U.S. Patent Application No. 10/015,070, filed December 11, 2001, entitled "Method And System Of Conducting Network-Based Transactions".	
	CF	U.S. Patent Application No. 09/483,584, filed December 11, 2000, entitled "Secure Electronic Commerce System".	
	CG	U.S. Patent Application No. 10/014,112, filed December 11, 2001, entitled "System And Method For Conducting Secure Transactions Over A Network".	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

Examiner Signature		Date Considered	5/28/05
--------------------	--	-----------------	---------



PTO/SB/08a/b (08-03)
Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/014,960
				Filing Date	December 11, 2001
				First Named Inventor	Harold A. Ludtke
				Art Unit	3621
				Examiner Name	J. M. Winter
				Attorney Docket Number	SONY 3.0-022
Sheet	3	of	3		

considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.
560859_1.DOC

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--